

Docket No.: 10010453-1

(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of: Gary R. Klein, et al.

Application No.: 09/945,372

Filed:

August 31, 2001

Group Art Unit:

2184

Examiner:

Not Yet Assigned

For: SYSTEM AND METHOD FOR DEFINING

MANAGEMENT POLICIES FOR MANAGING

NETWORK ELEMENTS

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, DC 20231, on the date shown below.

Dated:

COPY OF PAPERS ORIGINALLY FILED

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Box Missing Parts

Commissioner for Patents Washington, DC 20231

Dear Sir:

In response to the Notice to File Missing Parts of Application – Filing Date Granted mailed October 4, 2001, Applicant respectfully submits a Declaration and a Power of Attorney.

A check in the amount of \$1,230.00 covering the fee set forth in 37 CFR 1.16(e) is enclosed. The Commissioner is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 06-2380.

Dated: November 16, 2001

Respectfully submitted,

Jody C. Bishop Registration No.: 44,034

FULBRIGHT & JAWORSKI L.L.P.

2200 Ross Avenue, Suite 2800

Dallas, Texas 75201

(214) 855-8007

Attorneys for Applicant





tent and Trademark Office

COMMISSIONER FOR PATENTS UNITED STATES PATENT AND TRADEMARK OFFICE

WASHINGTON, D.C. 20231 www.uspto.gov

APPLICATION NUXBER

FILANG/RECEIPT DATE

FIRST NAMED APPLICANT

ATTORNEY DOCKET NUMBER

09/945,372

08/31/2001

Gary R. Klein

10010453-1

CONFIRMATION NO. 2164

FORMALITIES LETTER

OC000000006847326

FULBRIGHT & JAWORSKI L.L.P. Jody C. Bishop **Suite 2800** 2200 Ross Avenue Dallas, TX 75201

Date Mailed: 10/04/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

01/22/2002 BABRAHA1 00000292 09945372

FILED UNDER 37 CFR 1.53(b)

COPY OF PAPERS ORIGINALLY FILED

01 FC:101 02 FC:105 03 FC:103 740.00 OP 130.00 OP 360.00 DP

JAN 1 6 2002

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- o The statutory basic filing fee is missing. Applicant must submit \$ 720 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$360.
 - \$360 for 20 total claims over 20.
- The oath or declaration is missing. A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- o To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(I) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

• The balance due by applicant is \$ 1200.

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

JAN 1 6 2002

TEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. Complete if Known 09/945,372 **Application Number** August 31, 2001 Filing Date Gary R. Klein First Named Inventor Not Yet Assigned **Examiner Name** 2184 Group Art Unit

TOTAL AMOUNT OF PAYMENT (\$) 1,230.00		Attom	ey Doc	ket No.	1	10010453	31-1	COPY OF	PAPE
METHOD OF PAYMENT				FEE C	ALCULA	TION (cor	ntinued)	OFIGINA	LY FILED
The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:		DDITIO		EES I Entity			-		
Deposit Account Number 06-2380	Fee Code	Fee (\$)	Fee Code	Fee (\$)		Fee Des	cription	Fee Paid	
Deposit	105	130	205	65	Surcharge	- late filing	fee or oath	130.00	
Account Name	127	50	227	25	Surcharge cover she		isional filing fee or		
X Charge Any Additional Applicant claims small entity status. See	139	130	139	130	Non-Engli	ish specifica	tion		
37 CFR 1.16 and 1.17 37 CFR 1.27	147	2,520	147	2,520	For filing a	request for e	x parte reexaminatio	on	
2. X Payment Enclosed	112	920*	112	920*	Requestin Examiner		n of SIR prior to		
X Check Credit Card Money Order Other	113	1,840°	113	1,840*	Requestin Examiner		n of SIR after		
FEE CALCULATION	115	110	215	55	Extension	for reply wit	hin first month		
1. BASIC FILING FEE	116	400	216	200	Extension	for reply wit	hin second month		
Large Entity Small Entity	117	920	217	460	Extension	for reply wit	hin third month		
Fee Fee Fee Fee Description Fee Paid	118	1,440	218	720	Extension	for reply wit	hin fourth month		
101 740 201 370 Utility filing fee 740.00	128	1,960	228	980	Extension	for reply wit	hin fifth month		
106 330 206 165 Design filing fee	119	320	219	160	Notice of	Appeal			
107 510 207 255 Plant filing fee	120	320	220	160	Filing a br	ief in suppor	t of an appeal		
108 740 208 370 Reissue filing fee	121	280	221	140	Request for	or oral heari	ng		
114 160 214 80 Provisional filing fee	138	1,510	138	1,510	Petition to	institute a p	ublic use proceedir	ng	
SUBTOTAL (1) (\$) 0.00	140	110	240	55	Petition to	revive – una	avoidable		
	141	1,280	241	640	Petition to	revive - uni	ntentional		
2. EXTRA CLAIM FEES Extra Fee from Claims below Fee Pald	142	1,280	242	640	Utility issu	e fee (or rei	ssue)		
Total Claims 40 -20** = 20 X 18.00 = 360.00	143	460	243	230	Design iss	sue fee			
Independent 3 3 = 0 x 84.00 = 0.00	144	620	244	310	Plant issu	e fee			
Multiple Dependent =	122	130	122	130	Petitions t	o the Comm	nissioner		
	123	50	123	50	Processin	g fee under	37 CFR 1.17(q)		
Large Entity Small Entity	126	180	126	180	Submissio	on of Informa	ation Disclosure Str	nt	
Fee Fee Fee Fee Fee Description	581	40	581	40			it assignment per er of properties)		
103 18 203 9 Claims in excess of 20	146	740	246	370	Filing a su (37 CFR 1		ter final rejection		
102 84 202 42 Independent claims in excess of 3 104 280 204 140 Multiple dependent claim, if not paid	149	740	249	370	For each	additional in	vention to be		
** Paissue independent claims	179	740	279	370		37CFR 1.1 or Continued	29(0)) d Examination (RCI	E)	
109 84 209 42 reissue independent claims	169	900	169	900	Request f	or expedited	examination		
110 18 210 9 ** Reissue claims in excess of 20 and over original patent		fee (spe			_	n applicatior ng fee - Utilit			
SUBTOTAL (2) (\$) 360.00	*Red	uced by B	asic Fili	ng Fee P	aid'	SUBTOT	AL (3) (\$)	130.00	
**or number previously paid, if greater; For Reissues, see above	<u> </u>								
SUBMITTED BY						Complete (if applicable)		
Name (print/type) Jody C. Bishop		tration No ney/Agent)		034		Telephone	(214) 855-800	07	,
Signature		>				Date	November 16	5, 2001	

	Fe	ee Transmittal
		ith the U.S. Postal Service with sufficient postage as First Class Mail, in an atom ptgn, DC 20231, on the date shown below.
Dated: November 16, 2001	Signature:	Gail Miller)



PTO/SB/21 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Application Number 09/945,111 **TRANSMITTAL** Filing Date August 31, 2001 **FORM** First Named Inventor Gary R. Klein 2184 Group Art Unit (to be used for all correspondence after initial filing) Examiner Name Not Yet Assigned Total Number of Pages in This Submission Attorney Docket Number 10010454-1

Assignment Papers (for an Application) Amendment/Reply After Allowance Communication to Group Appeal Communication to Board of Appeals and Interferences Amendment/Reply After Final Petition Petition to Convert to a Provisional Application Extension of Time Request Express Abandonment Request Information Disclosure Statement Certified Copy of Priority Document(s) Response to Missing Parts/ Incomplete Application Response to Missing Parts/ Under 37 CFR 1.52 or 1.53 After Allowance Communication to Group Appeal Communication to Board of Appeals and Interferences Appeal Communication to Group (Appeal Notice, Binef, Reply Binef) Proprietary Information Status Letter X Other Enclosure(s) (please identify below) 37 CFR 3.73(b) Statement Declarations (2) Request for Refund CD, Number of CD(s) Remarks MAR 2 7 2002 Technology Center 2100	ENCLOSURES (check all that apply)								
Amendment/Reply Licensing-related Papers Appeal Communication to Group (Appeal Notice, Bnef, Reply Brief) Petition Petition Petition to Convert to a Provisional Application Extension of Time Request Express Abandonment Request Information Disclosure Statement Certified Copy of Priority Document(s) Response to Missing Parts/ Incomplete Application Remarks Appeals and Interferences Appeal Communication to Group (Appeal Notice, Bnef, Reply Brief) Proprietary Information Status Letter X Other Enclosure(s) (please identify below) 37 CFR 3.73(b) Statement Declarations (2) Request for Refund CD, Number of CD(s) Remarks MAR 2 7 2002 Technology Center 2100	X Fee Transm	ittal Form		1					
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Technology Center 2100	`								
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		16Cllinglog)							
	SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT								
Firm FULBRIGHT & JAWORSKI L.L.P.									
or Individual Name Jody C. Bishop	or	lody C. Bishop							
Signature The The Signature	Signature	The the							
Date November 16, 2001	Date	November 16, 200	10						

I hereby certify that this correspondence is being deposited envelope addressed to: Commissioner for Patents, Wash Dated: November 16, 2001 Signature:	Transmittal with the U.S. Postal Service with sufficient postage as First Class Mail, in an ington, DC 20231, on the date shown below. (Gail Miller)



Please type a plus sign inside this box Under the Paperwork Reduction Act of 1995, no persons are requ	PTO/SB/21 (08-00 Approved for use through 10/31/2002. OMB 0651-003 U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERC equired to respond to a collection of information unless it displays a valid OMB control numbe				
	Application Number	09/945,111			
TRANSMITTAL	Filing Date	August 31, 2001			
FORM	First Named Inventor	Gary R. Klein			

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	09/945,111	
Filing Date	August 31, 2001	
First Named Inventor	Gary R. Klein	4
Group Art Unit	2184	
Examiner Name	Not Yet Assigned	
Attorney Docket Number	10010453-1	17

ENCLOSURES (check all that apply)							
X Fee Transmittal Form		Assignment Papers (for an Application)	After Allowance Communication to Group				
X Fee Attached		Drawing(s)	Appeal Communication to Board of Appeals and Interferences				
Amendment/Reply		Licensing-related Papers	Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)				
After Final		Petition	Proprietary Information				
Affidavits/declara	tion(s)	Petition to Convert to a Provisional Application	Status Letter				
Extension of Time Requ	ıest	X Power of Attorney, Revocation Change of Correspondence Address	X Other Enclosure(s) (please identify below)				
Express Abandonment Request		Terminal Disclaimer	Declarations (2) 37 C.F.R. 3.73(b) Statement				
Information Disclosure Statement Request for Refund							
Certified Copy of Priorit Document(s)	Certified Copy of Priority Document(s) CD, Number of CD(s)						
Response to Missing Parts/ Incomplete Application Remarks							
X Response to Missing Parts under 37 CFR 1.52 or 1.53							
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT							
	FULBRIGHT & JAWORSKI L.L.P. Jody C. Bishop						
Signature	man 1300						
Date Novemb	November 16, 2001						

	Transmittal	
I hereby certify that this correspondence is	s being deposited with the U.S. Postal Service with	sufficient postage as First Class Mail, in an
II envelope addressed to: Commissioner f	or Patents, Washington, DC 20231, on the date sh	own below.
1	If show it	
Dated: November 16, 2001	Signature: Aul Milles	(Gail L. Miller)



PTO/SB/17 (10-01)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
The Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

Complete if Known					
Application Number	09/945,111	-			
Filing Date	August 31, 2001				
First Named Inventor	Gary R. Klein				
Examiner Name	Not Yet Assigned				
Group Art Unit	2184				
Attorney Docket No.	10010454-1				

TOTAL AMOUNT OF PAYMENT (\$) 960.00					Attorne	y Doc	ket No.		10010454	I-1	
METHOD OF PAYMENT							FEE C	ALCUL	ATION (con	itinued)	
1. The Commissioner is hereby authorized to charge			3. ADDITIONAL FEES								
Deposit	indicated fees and credit any overpayments to:		Large	Entity	Smal	l Entity					
Account Number		06-2380		Fee Code	Fee (\$)	Fee Code	Fee (\$)		Fee Des	cription	Fee Paid
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Name				127	50	227	25	Surchar cover st	ge – late provi:	sional tiling tee or	
	ge Any Additional Required Under	A	pplicant_ctaims small ntity status. See	139	130	139	130			ion MAR 2 7	2002
	FR 1.16 and 1.17		7 CFR 1.27	147	2,520	147	2,520	For filing	a request for ex	x parte reexamination	2007.
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X Che	ck Credit Car	rd Mone	y Order Other	113	1,840*	113	1,840*	Request Examine	ting publication er action	of SIR after	
	FEE CA	LCULATIO	V	115	110	215	55	Extension	on for reply with	hin first month	
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Large En				117	920	217	460	Extension	on for reply with	hin third month	
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101	740 201 370	O Utility filing fo	ee 740.00	128	1,960	228	980	Extension	on for reply with	hin fifth month	
106	330 206 165	5 Design filing	fee	119	320	219	160	Notice o	f Appeal		
107	510 207 255	5 Plant filing fe	e	120	320	220	160	Filing a	brief in support	of an appeal	
108	740 208 370	Reissue filing	g fee	121	280	221	140	Request	for oral hearing	ig .	
114	160 214 80	Provisional f	iling fee	138	1,510	138	1,510	Petition	to institute a po	ublic use proceeding	
ľ	SUB	STOTAL (1)	(\$) 740.00	140	110	240	55		to revive – una		
		Extra Fee	from	141	1,280	241	640	Petition	to revive - unin	itentional	
2. EXTR	A CLAIM FEES		low Fee Paid	142	1,280	242	640	Utility is:	sue fee (or reis	isue)	
Total Claim		5 X 18	90.00	143	460	243	230	Design i	ssue fee		
Independer Claims	^{nt} 3 -3** =	x	= 0.00	144	620	244	310	Plant iss	sue fee		
Multiple De	pendent		=	122	130	122	130	Petitions	s to the Commi	issioner	
				123	50	123	50	Process	ing fee under 3	37 CFR 1.17(q)	
Large Enti				126	180	126	180			tion Disclosure Stmt	
Fee Fe Code (\$) Code (\$)		escription	581	40	581	40	property	(times numbe	t assignment per er of properties)	
103 18		laims in excess	of 20 ns in excess of 3	146	740	246	370		submission aft ₹ 1.129(a))	er final rejection	
104 28			nt claim, if not paid	149	740	249	370	For each	h additional inved (37CFR 1.1		
109 84	4 209 42 **	Reissue indepe		179	740	279	370	Reques	t for Continued	Examination (RCE)	
		over original pa		169	900	169	900		t for expedited ign application		
110 18	3 210 9	and over origin	in excess of 20 al patent	Other	fee (spec	ify)			_ ,		
**or num	SUBTOTAL (2) (5) 90.00 *Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$) 130.00							130.00			
	SUBMITTED BY Complete (if applicable)										
Name (print/type) Jody C. Bishop Registration No. (214) 855-8007											
-	Jody C.	Jointop -	7~/	(Attorn	ey/Agent)	144,			releprioria	(214) 000-000/	
Signature		1 12							Date	November 16, 2	2001

	0	
		Fee Transmittal
I hereby certify that this corresponder	nce is being depos	ited with the U.S. Postal Service with sufficient postage as First Class Mail, in an
envelope addressed to: Commissio	ner for Patents, W	ashington, DC 20231, on the date shown below.
Dated: November 16, 2001	Signature:	Hack Mickel (Gail Miller)





STATES PARENT AND TRADEMARK OFFICE

JAN 1 6 2002

COMMISSIONER FOR PATENTS UNITED STATES PATENT AND TRADEMARK OFFICE

WASHINGTON, D.C. 20231

www.uspto.gov

APPLICATION NUMBER 09/945.111

FILD G/RECEIPT DATE

FIRST NAMED APPLICANT

ATTORNEY DOCKET NUMBER

08/31/2001

Gary R. Klein

10010454-1

CONFIRMATION NO. 2097

FORMALITIES LETTER

OC000000006911858*

FULBRIGHT & JAWORSKI L.L.P. Jody C. Bishop **Suite 2800** 2200 Ross Avenue Dallas, TX 75201

COPY OF PAPERS ORIGINALLY FILED

Date Mailed: 10/15/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

01/22/2002 BABRAHA1 00000293 09945111

740.00 DP

FILED UNDER 37 CFR 1.53(b)

MAR 2 7 2002

01 FC:101 02 FC:105 03 FC:103

130.00 OP 90.00 DP

Filing Date Granted

Technology Center 2100

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- o The statutory basic filing fee is missing. Applicant must submit \$ 73% to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$90.
 - □ \$90 for 5 total claims over 20.
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• The balance due by applicant is \$ 336.

960

A copy of this notice <u>MUST</u> be returned with the reply.

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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



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Signature:

Dated: November 16, 2001

_Docket No.: 10010454-1

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(PATENT)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of: Gary R. Klein, et al.

Application No.:

09/945,111

Filed:

August 31, 2001

Group Art Unit:

2184

Examiner:

Not Yet Assigned

For: SYSTEM AND METHOD FOR FLEXIBLE

PROCESSING OF MANAGEMENT POLICIES FOR MANAGING NETWORK ELEMENTS

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Commissioner for Patents Washington, DC 20231

RECEIVED

MAR 2 7 2002

Dear Sir:

Technology Center 2100

In response to the Notice to File Missing Parts of Application – Filing Date Granted mailed October 15, 2001, Applicant respectfully submits a Declaration and a Power of Attorney.

Our check in the amount of \$960.00 covering the fee set forth in 37 CFR 1.16(e) is enclosed. The Commissioner is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 06-2380.

Dated: November 16, 2001

Respectfully submitted,

Jody C. Bishop

Registration No.: 44,034

FULBRIGHT & JAWORSKI L.L.P.

2200 Ross Avenue

Suite 2800

Dallas, Texas 75201

(214) 855-8007

Attorneys for Applicant